

☒ payment in the amount of \$130 for the

☐ application filing fee;

☐ fee for additional claims; and

☒ missing parts surcharge.

☐ Other

☐ Applicant claims small entity status under 37 C.F.R. § 1.27.

Respectfully submitted,  
Millard E. Sweatt, III, *et al.*

Dated: OCTOBER 8, 2001

By: Martin S.C. Loui  
Martin S.C. Loui, Reg. No.: 43,411  
Fenwick & West LLP  
Two Palo Alto Square  
Palo Alto, CA 94306  
Tel.: (650) 858-7901  
Fax.: (650) 494-1417



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NOV 02 2001

Technology Center 2600

IN THE UNITED STATES

**PATENT AND TRADEMARK OFFICE**

APPLICANT(S): Millard E. Sweatt, III, Don Woodward, Chris E. Matichuk, Alain  
Regnier, Mark Nudelman, Philippe Pignon, F. Andrew Voltmer,  
Dave Westerhoff, Matthew Self, and Sunil Mohan

APPLICATION NO.: 09/925,121

FILING DATE: August 8, 2001

TITLE: Method and System for Remote Television Replay Control

EXAMINER: Not Yet Known

GROUP ART UNIT: 2614

ATTY. DKT. NO.: 22407-05497

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner For Patents, Office of Initial Patent Examination, Customer Service Center, Washington, D.C. 20231, on the date shown below:

Dated: OCTOBER 9, 2001

By: Martin S.C. Loui  
Martin S.C. Loui, Reg. No.: 43,411

COMMISSIONER FOR PATENTS  
OFFICE OF INITIAL PATENT EXAMINATION  
CUSTOMER SERVICE CENTER  
WASHINGTON, DC. 20231

**REQUEST FOR CORRECTED FILING RECEIPT**

SIR:

Enclosed is a copy of the Official Filing Receipt. It contains the following error:

1. The "Domestic Priority Data as Claimed by Applicant" erroneously states the filing date for serial number 60/223,856 as 8/9/2000. The correct filing date for is 8/8/2000, as evidenced by the Application Data Sheet, a copy of which is enclosed.

Please issue a corrected Filing Receipt rectifying this error.

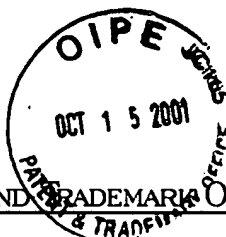
Respectfully submitted,  
Millard E. Sweatt, III, *et al.*

Dated: OCTOBER 9, 2001

By: Martin S.C. Loui  
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UNITED STATES PATENT AND TRADEMARK OFFICE



COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/925,121	08/08/2001	Millard E. Sweatt III	22407-05497

00758  
FENWICK & WEST LLP  
TWO PALO ALTO SQUARE  
PALO ALTO, CA 94306

CONFIRMATION NO. 5875

**FORMALITIES LETTER**



\*OC000000006558662\*

Date Mailed: 09/14/2001

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**

**FILED UNDER 37 CFR 1.53(b)**

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The signature of the following inventor(s) is missing from the oath or declaration:  
*Millard E. Sweatt III*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

*A copy of this notice **MUST** be returned with the reply.*

*S/A*

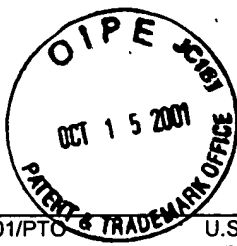
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

10/17/2001 HTECKLU1 00000006 09925121

01 FC:105

130.00 0P



RECEIPT

+

PTO/SB/21 (modified)

Approved for use through xx/xx/xx, OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

0001/PTO Rev. 10/95  <b>TRANSMITTAL FORM</b>  (to be used for all correspondence during pendency of filed application)	U.S. Department of Commerce Patent and Trademark Office	Application Number	09/925,121
		Filing Date	August 8, 2001
		First Named Inventor	Millard E. Sweatt, III
		Group Art Unit Number	2614
		Examiner Name	Not Yet Known
Total Number of Pages in This Submission 9		Attorney Docket Number	22407-05497

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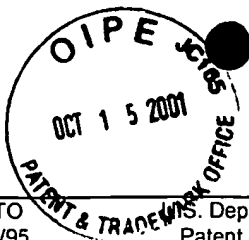
NOV 02 2001

Technology Center 2600

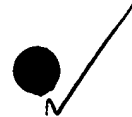
ENCLOSURES (check all that apply)	
<input type="checkbox"/> Fee Transmittal Form (in duplicate) <input type="checkbox"/> Check Enclosed	<input type="checkbox"/> Issue Fee Transmittal
<input checked="" type="checkbox"/> Return Receipt Postcard	<input type="checkbox"/> Letter to Chief Draftsperson
<input type="checkbox"/> Response to Notice to File Missing Parts	<input type="checkbox"/> Formal Drawing(s): [ ] Sheet(s) of Figure(s) [ ]
<input type="checkbox"/> Assignment & Recordation Cover Sheet	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Declaration	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> Power of Attorney	<input type="checkbox"/> Certified Copy of Priority Document(s)
<input type="checkbox"/> Application Data Sheet	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Information Disclosure Statement & PTO-1449 <input type="checkbox"/> Copies of IDS Cited References	<input checked="" type="checkbox"/> Copy of Application Data Sheet
<input checked="" type="checkbox"/> Request for Corrected Filing Receipt	<input checked="" type="checkbox"/> Copy of Filing Receipt
<input type="checkbox"/> Request for Correction of Recorded Assignment	<input type="checkbox"/>
<input type="checkbox"/> Amendment/Response: [ ] Page(s) <input type="checkbox"/> After Final	<input type="checkbox"/>
<input type="checkbox"/> Status Request	<input type="checkbox"/>
<input type="checkbox"/> Revocation and Substitute Power of Attorney	<input type="checkbox"/>
REMARKS:	

SIGNATURE OF ATTORNEY OR AGENT	
Signature:	<i>Martin S.C. Loui</i>
Attorney/Reg. No.:	Martin S.C. Loui, Reg. No. 43, 411
Dated:	OCTOBER 9, 2001

CERTIFICATE OF MAILING	
I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.	
Signature:	<i>Martin S.C. Loui</i>
Typed or Printed Name:	Martin S.C. Loui
Dated:	OCTOBER 9, 2001
Express Mail Mailing Number (optional):	



M



Section +

PTO/SB/21 (modified)

Approved for use through xx/xx/xx, OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

0001/PTO Rev. 10/95  <b>TRANSMITTAL FORM</b>  (to be used for all correspondence during pendency of filed application)	U.S. Department of Commerce Patent and Trademark Office	Application Number	09/925,121	
		Filing Date	August 8, 2001	
		First Named Inventor	Millard E. Sweatt, III	
		Group Art Unit Number	2614	
		Examiner Name	Not Yet Known	
Total Number of Pages in This Submission		20	Attorney Docket Number	22407-05497

**ENCLOSURES (check all that apply)**

<input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate) <input checked="" type="checkbox"/> Check Enclosed <input checked="" type="checkbox"/> Return Receipt Postcard <input checked="" type="checkbox"/> Response to Notice to File Missing Parts <input type="checkbox"/> Assignment & Recordation Cover Sheet <input checked="" type="checkbox"/> Declaration <input checked="" type="checkbox"/> Power of Attorney <input checked="" type="checkbox"/> Application Data Sheet <input type="checkbox"/> Information Disclosure Statement & PTO-1449 <input type="checkbox"/> Copies of IDS Cited References <input type="checkbox"/> Request for Corrected Filing Receipt <input type="checkbox"/> Request for Correction of Recorded Assignment <input type="checkbox"/> Amendment/Response: [ ] Page(s) <input type="checkbox"/> After Final <input type="checkbox"/> Status Request <input type="checkbox"/> Revocation and Substitute Power of Attorney	<input type="checkbox"/> Issue Fee Transmittal <input type="checkbox"/> Letter to Chief Draftsperson <input type="checkbox"/> Formal Drawing(s): [ ] Sheet(s) of Figure(s) [ ] <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> After Allowance Communication to Group <input checked="" type="checkbox"/> Copy of Notice to File Missing Parts <input checked="" type="checkbox"/> Amendment A <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

REMARKS:

**SIGNATURE OF ATTORNEY OR AGENT**

Signature:	<i>Martin S.C. Loui</i>		
Attorney/Reg. No.:	Martin S.C. Loui, Reg. No. 43, 411	Dated:	OCTOBER 8, 2001

**CERTIFICATE OF MAILING**

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Signature:	<i>Martin S.C. Loui</i>		
Typed or Printed Name:	Martin S.C. Loui	Dated:	OCTOBER 8, 2001
Express Mail Mailing Number (optional):			

PTO/SB/17 (10-01)(modified)  
OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

0002/PTO(modified)  
Rev. 10/2001U.S. Department of Commerce  
Patent and Trademark Office**FEE TRANSMITTAL****TOTAL AMOUNT OF PAYMENT**Subtotal (1) + Subtotal (2) + Subtotal (3) = **(\$ 130)****Complete if Known**

Application Number	09/925,121
Filing Date	August 8, 2001
First Named Inventor	Millard E. Sweatt, III
Group Art Unit	2614
Examiner Name	Not Yet Known
Attorney Docket Number	22407-05497

**METHOD OF PAYMENT****1. The Commissioner is hereby authorized to:**

- ☐ Charge the indicated fees to the below mentioned deposit account.
- ☒ Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account.†
- ☐ Applicant claims small entity status See 37 CFR 1.27

Deposit Account Number: 19-2555  
Deposit Account Name: FENWICK & WEST LLP

A Duplicate Copy of this authorization is attached

**2. ☒ Payment Enclosed:**☒ Check ☐ Credit Card ☐ Other**FEE CALCULATION (fees effective 10/01/2001)****1. FILING FEE**

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
101/\$740	201/\$370	Utility Filing	<input type="text"/>
106/\$330	206/\$165	Design Filing	<input type="text"/>
108/\$740	208/\$370	Reissue	<input type="text"/>
114/\$160	214/\$80	Provisional Filing	<input type="text"/>

**SUBTOTAL (1)** **(\$).00****2. CLAIMS**

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description
103/\$18	203/\$9	Claims in excess of 20
102/\$84	202/\$42	Independent claims in excess of 3
104/\$280	204/\$140	Multiple dependent claim
109/\$84	209/\$42	Reissue independent claims over original patent
110/\$18	210/\$9	Reissue claims in excess of 20 and over original patent

**3. ADDITIONAL FEES**

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
105/\$130	205/\$65	Surcharge - late filing fee or oath	<b>130</b>
127/\$50	227/\$25	Surcharge-late provisional filing fee or cover sheet	<input type="text"/>
147/\$2,520	147/\$2,520	For filing a request for reexamination	<input type="text"/>
115/\$110	215/\$55	Extension for response within first month†	<input type="text"/>
116/\$400	216/\$200	Extension for response within second month†	<input type="text"/>
117/\$920	217/\$460	Extension for response within third month†	<input type="text"/>
118/\$1,440	218/\$720	Extension for response within fourth month†	<input type="text"/>
128/\$1,960	228/\$980	Extension for response within fifth month†	<input type="text"/>
119/\$320	219/\$160	Notice of Appeal	<input type="text"/>
141/\$1,280	241/\$640	Petition to revive unintentionally abandoned application	<input type="text"/>
142/\$1,280	242/\$640	Utility Issue Fee (Or Reissue)	<input type="text"/>
143/\$460	243/\$230	Design Issue Fee	<input type="text"/>
122/\$130	122/\$130	Petitions to the Commissioner	<input type="text"/>
126/\$180	126/\$180	Submission of Information Disclosure Statement	<input type="text"/>
179/\$740	279/\$370	Request for Continued Examination (RCE)	<input type="text"/>
581/\$40	581/\$40	Recording each patent assignment per property (times number of properties)	<input type="text"/>
146/\$740	246/\$370	Filing a submission after final rejection (37 CFR 1.129(a))	<input type="text"/>
149/\$740	249/\$370	For each additional invention to be examined (37 CFR 1.129(b))	<input type="text"/>

Other fee (specify): Other fee (specify): **SUBTOTAL (3)** **(\$130)**

(Col. 1)		(Col. 2)		(Col. 3)		Fee		Fee Due
For	No. of Existing Claims	minus*	Highest No. Previously Paid For	=	Extra**	x	=	
TOTAL		minus*	20 or 0	=		x	=	0
INDEP		minus*	3 or 0	=		x	=	0
[ ] First presentation of multiple dependent claim								

\* Subtract the greater number of Col. 2

\*\* If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3

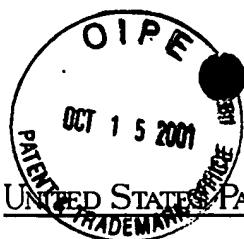
**SUBTOTAL (2)** **(\$).00****SUBMITTED BY**Typed or Printed Name **Martin S.C. Loui****Complete (if applicable)**Reg. Number **43,411**

Signature

Date

**OCTOBER 8, 2001**

† Request for Extension of Time per 37 CFR 1.136 (a)(3) made hereby



UNITED STATES PATENT AND TRADEMARK OFFICE

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 COMMISSIONER FOR PATENTS  
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 WASHINGTON, D.C. 20231  
 www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/925,121	08/08/2001	2614	1228	22407-05497	37	31	7

 00758  
 FENWICK & WEST LLP  
 TWO PALO ALTO SQUARE  
 PALO ALTO, CA 94306

CONFIRMATION NO. 5875

## FILING RECEIPT



\*OC000000006558661\*

Date Mailed: 09/14/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

 Millard E. Sweatt III, Menlo Park, CA;  
 Don Woodard, Los Altos, CA;  
 Chris E. Matchuk, San Jose, CA;  
 Alain Regnier, Sunnyvale, CA;  
 Mark Nudelman, Half Moon Bay, CA;  
 Philippe Pignon, Palo Alto, CA;  
 F. Andrew Voltmer, Palo Alto, CA;  
 Dave Westerhoff, Fremont, CA;  
 Matthew Self, Redwood City, CA;  
 Sunil Mohan, Los Gatos, CA;

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 NOV 02 2001  
 Technology Center 2600

## Domestic Priority data as claimed by applicant

 THIS APPLN CLAIMS BENEFIT OF 60/223,856 08/09/2000 \*  
 AND CLAIMS BENEFIT OF 60/248,313 11/14/2000  
 AND CLAIMS BENEFIT OF 60/258,937 12/29/2000  
 AND CLAIMS BENEFIT OF 60/258,940 12/29/2000  
 (\*) Data inconsistent with PTO records.

## Foreign Applications

If Required, Foreign Filing License Granted 09/14/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No



**Early Publication Request:** No

**Title**

Method and system for remote television replay control

**Preliminary Class**

348

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**Data entry by :** HOANG, SON

**Team :** OIPE

**Date:** 09/14/2001



**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

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**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231



Creation date: 09-09-2004

Indexing Officer: TBARIBOR - TUKA BARIBOR

Team: OIPEBackFileIndexing

Dossier: 09925121

Legal Date: 10-23-2001

No.	Doccode	Number of pages
1	CTMS	2

Total number of pages: 2

Remarks:

Order of re-scan issued on .....